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Action*

13 April 1977

MEMORANDUM FOR: Deputy Director for Administration
Deputy Director for Intelligence
Deputy Director for Operations
Deputy Director for Science & Technology
Executive Secretary

THROUGH : Comptroller

SUBJECT : Resources for Program Evaluation in Fiscal Year 1977
-- OMB Bulletin 77-8

1. A report showing and commenting on the CIA resources devoted to Program Evaluation is due in the Office of Management and Budget on 25 April. It is in our interest that the CIA submission show as thoroughly and carefully as possible Agency efforts to systematically analyze its programs to ascertain the extent that they "have achieved or are achieving their objectives, or are producing other significant effects...."

2. A copy of the actual OMB Bulletin is attached; it requires some interpretation. Basically, the data desired is that showing the extent that CIA attempts to determine "what has actually occurred as the result of past program actions," plus our efforts to develop evaluation methodologies and ensure that these are incorporated into existing and future programs. The efforts identified should be intended to assist management.

3. For the purposes of this OMB tasking, program evaluation does not include:

- evaluation activities which are an intrinsic part of program operations or management;
- analyses of the relative cost/benefit of alternative approaches to programs that do not yet exist;
- the development and operation of management information systems;
- the collection of routine data or the preparation of general statistics or basic research.

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4. Under such criteria, we would assume that, for example, approaches to the development of a new technical collection system would not be included, but that the evaluation of performance of existing systems would be. Special [REDACTED] efforts to monitor the effectiveness of particular products would be included when these were expected to be used as a basis for new policy and management decisions. Formal studies of the DDO Evaluation and Program Design Staff and others of collection projects would be included. The efforts of much of the DDI Center for Policy Support is aimed at determining the utility of finished intelligence. Some of the work of the DDA Center for the Study of Intelligence might be included. A portion of the efforts of the Inspections Staff and the Audit Staff deal with program evaluation. The NIOs engage in program evaluation when they participate in "FOCUS-type" studies or consider the performance of collectors relative to Key Intelligence Questions.

5. The attachment to the OMB Bulletin shows the prescribed format for your input. Please give us a name of a contact person; we will not pass that name to OMB. We propose to provide OMB with data for each of the four Directorates and for the Office of the Director. One staff-year should be counted for each full-time person who devotes more than fifty percent of his/her time to program evaluation activities or to monitoring such activities by contractors; part-time employees or employees working on evaluations less than fifty percent of their time are not to be included. A brief narrative description of program evaluation activities and of their expected impact is to be included (two or three paragraphs per Directorate). Significant increases or decreases in funding levels for evaluation activities from FY 1977 to FY 1978 are to be noted and major "policy or strategy changes" mentioned.

6. A two-three page Agency summary narrative will be prepared by this office and we welcome your suggestions. The data you provide should include activities of your components in support of interagency evaluation efforts (e.g., by the IC Staff) or of evaluation activities of other agencies. The Agency overview will note that CIA regularly participates in evaluations of Programs under the control of other Departments and Agencies.

7. Your data and narrative are needed by no later than COB 21 April. We apologize for the tight deadline, but the OMB tasking only arrived in the Comptroller's Office on 12 April, and the OMB deadline is Monday, 25 April. [REDACTED] of my Staff (Red 1829, Rm 3E58), is coordinating this effort and he remains ready to talk further with your people regarding the nature and extent of the task.

[REDACTED]
Assistant Comptroller
Requirements & Evaluation

Attachment:
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BULLETIN NO. 77-8

April 4, 1977

TO THE HEADS OF EXECUTIVE DEPARTMENTS AND ESTABLISHMENTS

SUBJECT: Resources for Program Evaluation in Fiscal Year 1977

1. Purpose. This Bulletin provides instructions for the submission of information concerning the resources for program evaluation provided for in fiscal year 1977.
2. Background. The Office of Management and Budget has determined the need to collect and analyze information on the level of Federal expenditures and staffing devoted to program evaluation activities. The information requested by this Bulletin is vital to an understanding of the magnitude of evaluation resources and the ways in which these resources contribute to the achievement of national goals, agency missions, and program objectives. Moreover, increasing concern about the adequacy of data on program performance makes it necessary to assure that accurate information can be provided to the Congress and the public on the actual level of program evaluation expenditures.
3. Coverage. These instructions apply to each executive department and independent agency with more than 800 authorized full-time permanent employees.
4. Definition. For purposes of this Bulletin, program evaluation means the formal assessment, through objective measurements and systematic analyses, of the manner and extent to which Federal programs (or their components) have achieved or are achieving their objectives, or are producing other significant effects of either a desirable or undesirable character, in order to assist future policy and management decisions.
 - a. The following will be considered as Federal program evaluation activities for the purpose of this Bulletin:

(1) Formal studies, surveys, and data analyses for the purpose of determining the effectiveness, efficiency, or impact of a national or regional program.

(2) Systematic assessment of demonstration programs or projects which are expected to have major implication for programs of national or regional scope; except that evaluation activities which are an intrinsic part of the program operations or management should not be reported.

(3) Formal studies, surveys, and data analyses for the purpose of assessing program management processes, procedures, intervention techniques, workload distribution, or productivity. ✓

(4) Assessment and development of program designs to assure that programs, once operational, can be successfully evaluated.

(5) Design, development, and field testing of new program evaluation methodologies. ✓ (7)

(6) Synthesis and further analysis of results obtained by several previous program evaluation efforts.

(7) Collection of initial data to help in evaluation design and provide a baseline for subsequent evaluations. ✓

b. The following will not be considered as program evaluation activities for the purposes of this Bulletin.

(1) Design, development, and operation of general data systems or management information systems.

(2) Continuing collection of routine data and general purpose statistics.

(3) Analysis of existing or proposed policies where no programs yet exist (even though authorized) for purposes of appraising the likely costs and effects of feasible alternatives. Although such analyses are often called "evaluations," they are prospective in character; whereas program evaluation is retrospective, aimed at determining what has actually occurred as the result of past program actions.

(4) Basic research and studies intended to increase or foster general knowledge development, but which are not

expected to be used specifically and primarily in policy and management decisions.


(5) Routine, day-to-day monitoring of program operations which is an intrinsic part of program administration.

c. It is recognized that the present extensive variation among Federal agencies and programs will require case-by-case judgments to determine the applicability of the above criteria to agency "evaluation" activities.

5. Reporting Requirements. Departments and agencies should submit a report in accordance with the attached instructions and exhibit to OMB, attention: Evaluation and Program Implementation Division by April 25, 1977. This is a one-time report.

6. Rescission. This Bulletin is rescinded following receipt of the April 25, 1977 report.

7. Inquiries. Inquiries and requests for assistance should be directed to the Evaluation and Program Implementation Division, Office of Management and Budget. (395-4726 or 395-5642.)



Bert Lance
Director

Attachment

INSTRUCTIONS

An original and one copy of the report on program evaluation resources will be prepared on letter size sheets (8x10-1/2) and submitted in the format of the attached exhibit, as prescribed below.

Date - Enter the date of preparation

Contact - Enter the name and telephone number of an individual who can respond to questions relative to the information provided.

Part I. RESOURCES SCHEDULE:

Department/Agency/Bureau - Enter the reporting department or independent agency. In the case of cabinet departments, enter each bureau or comparable organizational unit for which separate evaluation resources (funds and personnel) can be identified, a consolidated line entry for any other organizational units (if applicable), and a line entry for the total department or agency. At least one space should be left between each line entry.

Staff years - Enter the estimated staff-years for full-time permanent personnel who devote more than fifty percent of their time to the program evaluation activities outlined in paragraph 4a of this Bulletin. This includes full-time government personnel engaged in monitoring or directing such activities by contractors or grantees.

Salaries - Enter the estimated obligations for personnel compensation related to the staff-year entry.

Personnel Benefits - Enter the estimated obligations for personnel benefits associated with the salary figure.

Contracts/Grants - Enter the estimated obligations to be incurred for evaluation contracts or grants, or, in the case of multi-purpose agreements, the obligations for those portions of the contracts or grants that are directly related to the program evaluation activities described in paragraph 4a of this Bulletin.

Other Expenses - Enter the total obligations estimated for other administrative expenses directly related to the performance, commissioning, or oversight of the activities

described in paragraph 4a of this Bulletin. "Other expenses" would include obligations for travel and transportation of persons, transportation of things, rent, communications and utilities, printing and reproduction, other services (such as ADP services), supplies and materials, and equipment. Significant obligations for any of these "other expenses" should be briefly identified in the narrative.

Total - Enter the total estimated FY 1977 obligations for salaries, personnel benefits, contracts/grants, and other expenses. Note: All obligations are to be entered in thousands of dollars.

Part II. NARRATIVE STATEMENT

A brief explanatory statement should describe in general terms the program evaluation activities being undertaken and the objectives toward which they are directed. It should highlight significant increases or decreases in funding levels from the current fiscal year to FY 1978 and major policy or strategy changes expected to occur. Emphasis should be placed on the expected use of evaluation information in the agency resource allocation and other decision processes. In most instances, the narrative for individual bureaus should be restricted to two or three paragraphs and the departmental or agency summary should not exceed two pages.

EXHIBIT
Bulletin No. 77-8

REPORT ON FY 1977 PROGRAM EVALUATION RESOURCES
(Dollars in Thousands)

Date: _____

Contact: _____

Part I. RESOURCE SCHEDULE

<u>Department/Agency/Bureau</u>	<u>Staff Years</u> <u>(FTP)</u>	<u>Salaries</u> <u>(\$)</u>	<u>Personnel</u> <u>Benefits</u> <u>(\$)</u>	<u>Contracts</u> <u>Grants</u> <u>(\$)</u>	<u>Other</u> <u>Expenses</u> <u>(\$)</u>	<u>TOTAL</u> <u>(\$)</u>
Department of Government (Report breakdown of major bureau or other organiza- tional unit for cabinet departments only)						

PART II. NARRATIVE STATEMENT

Existing ODP Program Evaluation Methods

- Management by Objectives Program
Period - Bi-Monthly and Annually
Scope - Projects of Agency, Directorate of Office importance which have Action Plan
- "Board of Directors"
Period - Monthly and on Demand
Scope - Anything of interest to Director, initially follows MBO
- Program Call and Revision to Program Call
Period - Annually and Cyclic
Scope - Only that portion devoted to evaluation
- Project Continuance Review
Period - Monthly (all projects once a year)
Scope - All production systems for which ODP is responsible
- Project Management
Period - According to system development schedule
Scope - Review and evaluation of past activity and future plans, according to project schedule. Examples are feasibility study evaluation, preliminary design review, critical design review and acceptance tests, et.
- Hardware/Software Procurement Concurrence
- Various Ad Hoc Evaluation Groups
Steering Committees
GIMS Project Reviews
Configuration Management
Project Team Evaluation and reviews

Data Systems Which Aid in Program Evaluation

- Project Activity Report
Period - Monthly
Scope - All projects which use ODP resources
- Applications Tracking System
Period - On-line, Weekly and Monthly Reports
Scope - All projects which use Applications resources, and/or for which Applications is responsible, tracks progress.
- SMF Accounting
Period - Daily, Monthly, Annually
Scope - Support all machine resource accounting systems